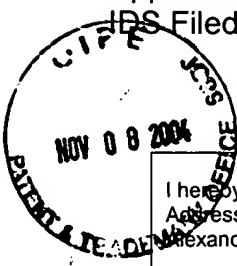


11-10-04

2132

Application No.: 09/870,801
IDS Filed November 8, 2004

PATENT
Customer No. 22,852
Attorney Docket No. 7451.0001-18
Intertrust Ref. No. IT-5.2.1.1 US



CERTIFICATE OF EXPRESS MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service's "Express Mail Post Office to Addressee" service under 37 CFR § 1.10, in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on November 8, 2004. Express Mail Label No.: EV 606104376 US

Signed: _____

Mary A. McCauley

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: _____

Karl L. GINTER et al. _____

Application No.: 09/870,801 _____

Filed: June 1, 2001 _____

For: SYSTEMS AND METHODS FOR
SECURE TRANSACTION
MANAGEMENT AND
ELECTRONIC RIGHTS
PROTECTION _____

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Group Art Unit: 2132

Examiner: DARROW, Justin T.

Confirmation No.: 9392

RECEIVED

NOV 16 2004

Technology Center 2100

Sir:

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97(c)

Pursuant to 37 C.F.R. §§ 1.56 and 1.97(c), Applicants bring to the attention of the Examiner the documents on the attached listing. To the best of our knowledge, this Information Disclosure Statement is being filed after the events recited in Section 1.97(b) but, to the undersigned's knowledge, before the mailing date of either a Final action, Quayle action, or a Notice of Allowance. Under the provisions of 37 C.F.R. § 1.97(c), this Information Disclosure Statement is accompanied by a fee of \$180.00 as specified by Section 1.17(p).

11/12/2004 MBLANCO 00000004 060916 09870801

01 FC:1806

180.00 DA

As a result of the Microsoft litigation, summaries of reference titles and copies of some of those references were provided to Applicants (See Tab 2, Exhibit A of the Final Notice Regarding Related Litigation originally submitted to the Office on March 26, 2004, pertaining to InterTrust Technology Corp. v. Microsoft Corp., C 01-1640 SBA, N. D. Ca). The references listed on the attached form PTO-1449 represent all available references, not yet submitted in this case, of which Applicants are aware. The listed references are provided in electronic format via one (1) CD-ROM attached hereto.

Applicants respectfully request that the Examiner consider the listed documents and indicate that they were considered by making appropriate notations on the attached form.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art." If the Examiner applies any of the documents as prior art against any claims in the application and Applicants determine that the cited documents do not constitute "prior art" under United States law, Applicants reserve the right to present to the office the relevant facts and law regarding the appropriate status of such documents.


Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

If there is any fee due in connection with the filing of this Statement, please charge the fee to our Deposit Account No. 06-0916.

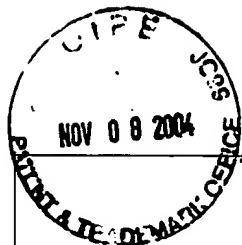
Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,
GARRETT & DUNNER, L.L.P.

Dated: November 8, 2004

By: 
Andrew B. Schwaab
Reg. No. 38,611

Finnegan, Henderson, Farabow,
Garrett & Dunner, L.L.P.
1300 I Street NW
Washington, D.C. 20005
(202) 408-4000



OMB No. 0651-0011

INFORMATION DISCLOSURE CITATION
(Use several sheets if necessary)

Atty. Docket No.: 07451.0001-18000

Application No.: 09/870,801

Applicant: Karl L. Ginter, et al.

Filing Date: June 1, 2001

Group: 2132

U.S. PATENT DOCUMENTS

Examiner Initial*	Document Number	Date	Name	Class	Sub Class	Filing Date If Appropriate
	4,748,561	5/31/1988	Brown			
	4,757,914	7/19/1988	Roth et al.			
	5,517,518	5/14/1996	Morson et al.			
	5,745,678	4/28/1998	Herzberg et al.			
	5,819,263	10/6/1998	Bromley et al.			
	5,842,173	11/24/1998	Strum et al.			

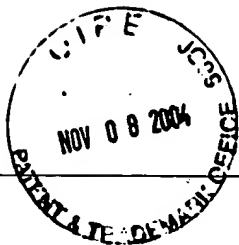
RECEIVED
NOV 16 2004
Technology Center 2100**FOREIGN PATENT DOCUMENTS**

Examiner Initial*	Document Number	Date	Country	Class	Sub Class	Translation Yes or No
	AU-A-36815/97	2/19/1998	Australia			
	AU-A-36816/97	2/19/1998	Australia			
	AU-A-36840/97	2/19/1998	Australia			
	EP 0 913 757 A2	5/6/1999	EPO			
	WO 97/43761	11/20/1997	PCT			
	WO 97/48203	12/18/1997	PCT			
	WO 98/09209	3/5/1998	PCT			
	WO 98/10381	3/12/1998	PCT			
	WO 98/37481	8/27/1998	PCT			
	WO 98/45768	10/15/1998	PCT			
	WO 99/01815	1/20/1999	PCT			

Examiner

Date Considered:

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



OMB No. 0651-0011

INFORMATION DISCLOSURE CITATION
(Use several sheets if necessary)

Atty. Docket No.: 07451.0001-18000

Application No.: 09/870,801

Applicant: Karl L. Ginter, et al.

Filing Date: June 1, 2001

Group: 2132

RECEIVED

NOV 16 2004

FOREIGN PATENT DOCUMENTS

Technology Center 2100

Examiner Initial*	Document Number	Date	Country	Class	Sub Class	Translation Yes or No
	WO 99/24928	5/23/1999	PCT			
	WO 99/48296	9/23/1999	PCT			

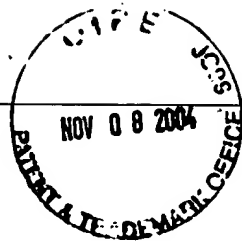
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

	Berkovitz, S. et al., "Authentication of Mobile Agents," Mobile Agents and Security, Springer-Verlag, Giovanni Vigna, Ed., 1998, pp. 114-136.
	Champine, G., MIT Project Athena: A Model for Distributed Campus Computing, Digital Equipment Corporation, 1991, 22 introductory pages, Chapter 1 (pp. 3-18); Chapter 2 (pp. 19-33); Chapter 3, (pp. 37-68); Chapter 4 (pp. 69-75); Chapter 5 (pp. 79-107); C
	Chase, Chevy, M.D., "DiscStore", Electronic Publishing Resources, 1991.
	Constructing a High Assurance Mail Guard, Secure Computing, 1994, pp. 1-10.
	Electronic Currency Requirements, XIWT (Cross Industry Working Group), (undated), 16 pages.
	Ellison, C. et al., "SPKI Certificate Theory," Internet Engineering Task Force (IETF) RFC 2693, Sept. 1999, 38 pages, available at http://www.ietf.org/rfc/rfc2693.txt?number=2693
	Federal Criteria for Information Technology Security," Vol. II, Version 1.0, National Institute of Standards and Technology and National Security Agency, December 1992, 270 pages.
	Financial Transaction Card Originated Messages - Interchange Message Specifications - Part 2: Application and registration Procedures for Institution Identification Codes (IIC), ISO 8583-2, Jul. 1, 1998.
	Financial Transaction Card Originated Messages - Interchange Message Specifications - Part 3: Maintenance Procedures for Codes, ISO 8583-3, Jul. 1, 1998.
	Hohl, F., "Time Limited Blackbox Security: Protecting Mobile Agents from Malicious Hosts," Lecture Notes in Computer Science, Vol. 1419: Mobile Agents and Security, Springer-Verlag, 1998, G. Vigna Ed., pp. 90-111.
	International Standard ISO8583, "Bank Card Originated Messages - Interchange Message Specifications - Content for Financial Transactions," International Organization for Standardization, August 15, 1987, pp. 1-33.
	Introduction to Smart Cards v. 1.0", Gemplus Card International, March 21, 1991.

Examiner

Date Considered:

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**INFORMATION DISCLOSURE CITATION**
(Use several sheets if necessary)

Atty. Docket No.: 07451.0001-18000

Application No.: 09/870,801

Applicant: Karl L. Ginter, et al.

RECEIVED

Filing Date: June 1, 2001

Group: 2132

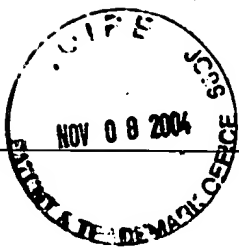
NOV 16 2004**Technology Center 2100****OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)**

	iOpener, Registered Trademark of National Semiconductor Corporation, Registration date October 4, 1994, 1 page.
	Key Management (retail) - Part I: Introduction to Key Management; Part II: Key Management Techniques for Symmetric Ciphers, ISO 11568-1 and -2, Dec. 1, 1994.
	Krajewski, Jr., M., "Applicability of Smart Cards to Network User Authentication," Computing Systems, vol. 7, no. 1, Winter 1994, pp. 75-89.
	Lehman, B., "Intellectual Property and the National Information Infrastructure, A Preliminary Draft of the Report of the Working Group on Intellectual Property Rights," July 1994, 4 introductory pages and pp. 1-141.
	Microsoft Authenticode Technology, Microsoft Corporation, Oct. 1996.
	Open Systems Interconnection: Security Architecture, ISO 7498/1, 1988.
	Open Systems Interconnection: Security Architecture, ISO 7498/2, 1988.
	Personal Identification Number (PIN) management and security - Part I: Basic Principles and Requirements for online PIN Handling in ATM and POS Systems; & -2 Approved Algorithm(s) for PIN Encipherment, ISO 9564-1 & -2, (Apr. 15, 2002 & Dec. 15, 1991
	PowerAgent Introduces First Internet 'Infomediary' to Empower and Protect Consumers, Techmall.com, Aug 4, 1997.
	Rozenblit, Moshe, "Secure Software Distribution", IEEE 0-7803-1811-0/94, 1994.
	Rubin, A.D., "Trusted Distribution of Software Over the Internet," Bellcore, 1995, pp. 1-9.
	Sander, T. et al., "Protecting Mobile Agents Against Malicious Hosts," Mobile Agents and Security: Lecture Notes in Computer Science, Springer-Verlag, G. Vigna, Ed., Vol. 1419, Nov. 11, 1997, 16 pages.
	Sander, T. et al., "Towards Mobile Cryptography," IEEE Proceedings of Security and Privacy, May 1998, 10 pages.
	Secure Cryptographic Devices (retail) - Part I: Concepts, Requirements and Evaluation Methods, ISO 13491-1, Jun. 15, 1998.
	Specification for Financial Message Exchange Between Card Acceptor and Acquirer, X9.15, American National Standard, American Banker's Association, 1990.
	Tanenbaum, A.S., et al., "The Amoeba Distributed Operating System," 1990.
	Tanenbaum, A.S., et al., "The Amoeba Distributed Operating System-A Status Report," 1991.
	The Risks Digest, "Forum on Risks to the Public in Computers and Related Systems," Vol. 15; Issue 47, February 9, 1994, pp. 1-12.

Examiner

Date Considered:

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



OMB No. 0651-0011

INFORMATION DISCLOSURE CITATION
(Use several sheets if necessary)

Atty. Docket No.: 07451.0001-18000

Application No.: 09/870,801

Applicant: Karl L. Ginter, et al.

Filing Date: June 1, 2001

Group: 2132

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

Transformer Rules Strategy for Software Distribution Mechanism-Support Products, IBM Technical Disclosure Bulletin, Vol. 37, No. 48, Apr. 1994, pp. 523-25.

RECEIVED
NOV 16 2004
Technology Center 2100

Examiner

Date Considered:

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Form PTO 1449

Patent and Trademark Office - U.S. Department of Commerce